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2012

## Annual Report on Gifts, Fund Raising, and Endowments

University Of Maine System

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**ANNUAL REPORT ON GIFTS, FUND RAISING AND ENDOWMENTS**  
**YEAR ENDED JUNE 30, 2012**

Additional copies are available at <http://www.maine.edu/system/oft/GiftsandFundRaising.php> or by contacting:

Office of Finance and Administration  
16 Central Street  
Bangor, ME 04401-5106

**UNIVERSITY OF MAINE SYSTEM**  
**ANNUAL REPORT ON GIFTS, FUND RAISING AND ENDOWMENTS**  
**Year Ended June 30, 2012**

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**UNIVERSITY OF MAINE SYSTEM  
ANNUAL REPORT ON GIFTS, FUND RAISING AND ENDOWMENTS  
Year Ended June 30, 2012**

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## **Highlights**

- The University of Maine System (UMS) received cash gifts totaling \$21.6 million during FY2012, with the largest contribution 38.7% (or \$8.4 million) coming from University Foundations. 36.0% (or \$7.8 million) of cash gifts was restricted for scholarships and 23.8% (or \$5.1 million) was restricted for facilities related projects.
- At June 30, 2012, the market value of UMS endowed and non-endowed gift balances was \$147.7 million, a decrease of \$7.4 million or 5.0% compared to the prior year end balance.
- The market value of all UMS and affiliated organization endowed funds was \$291.7 million at June 30, 2012 which was a decrease of \$5.0 million or 1.6% compared to the prior year end balance.
- Campuses report significant gift activity as follows:
  - The University of Maine (UM) received many large gifts and pledge payments in FY2012 including a \$1.5 million payment from the Harold Alfond Foundation to renovate Alfond Arena, a \$2.0 million payment from New Balance to support athletic facility renovations, an \$800 thousand payment from Paul Coulombe for scholarships, and \$333 thousand from the late Jean M. Pierce for presidential priorities.
  - A total of 59 new gift funds were established at UM, including 1 for endowed scholarships and 58 for annual scholarships.
  - In July 2011, Maine Centers for Women, Work, and Community at the University of Maine at Augusta (UMA) received a \$1.0 million new endowment gift from an anonymous donor. The donor was interested in supporting Women, Work, and Community's mission and services to help Maine women succeed in their workplace, business, and community.
  - The University of Maine at Farmington Alumni Foundation members unanimously voted to dissolve the corporation as of January 31, 2012. As a result, \$1.3 million of assets were gifted to the University of Maine at Farmington for continued endowment for scholarships.
  - Gifts made to the University of Maine at Presque Isle (UMPI) include funds from the Gentile Estate for the purchase of new equipment and maintenance on other equipment in the Gentile Health and Physical Education Center. UMPI alumni graciously made gifts to support the restoration and renovation of the Langlais Owl Sculpture. The sculpture serves as a campus landmark to many of the institutions' alumni and visitors.
  - The University of Southern Maine (USM) received gifts and pledge payments totaling \$583 thousand in support of student financial aid, an 8.7% increase over FY2011. Of the total received, \$519 thousand or 88.1% was designated for current operations and \$64 thousand or 10.9% was endowed.

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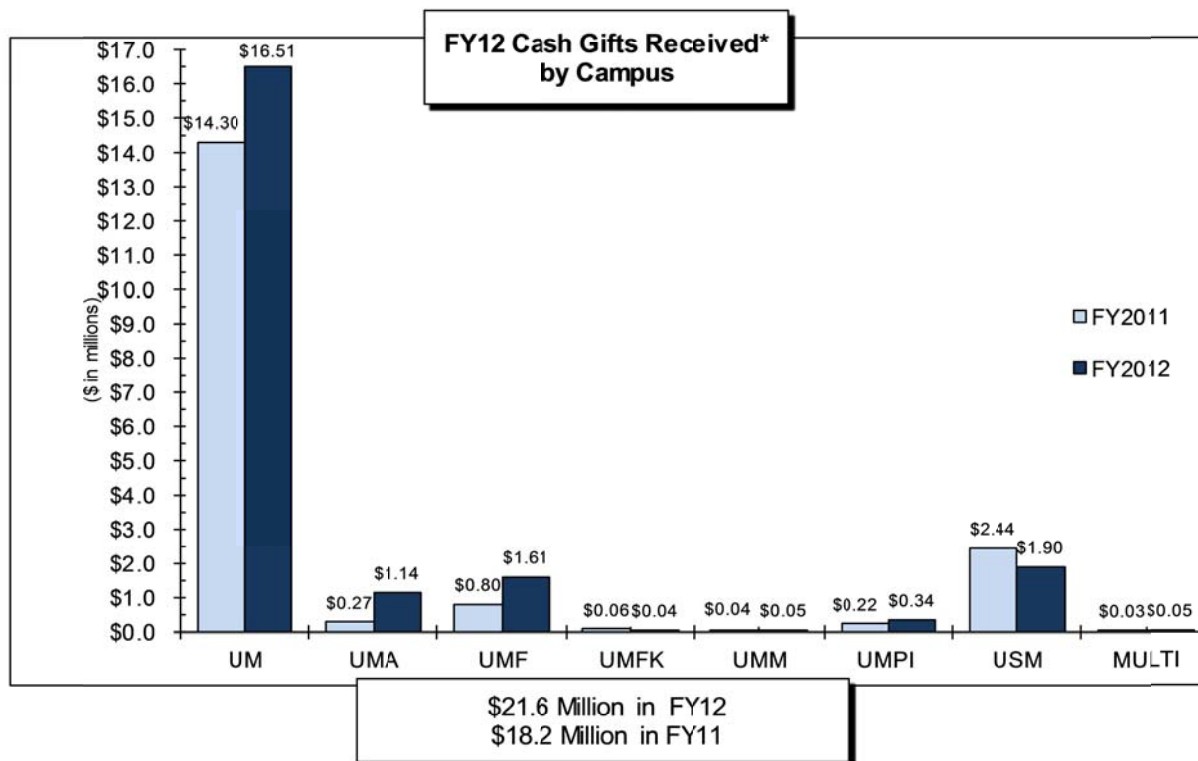
- Total funds received by USM for property, plant and equipment were \$460 thousand for FY2012, compared with \$1.2 million for FY2011. The continued decrease in funds is the result of fewer active pledges for the recent Transforming USM Capital Campaign. Over 99% of these funds were collected by and transferred to USM from the USM Foundation. Gifts received in FY2012 include payments of \$255 thousand towards the Transforming USM Capital Campaign obligations and \$197 thousand in support of Gorham's athletic turf field project.
- Gifts received in support of USM's public service and extension purposes totaled \$310 thousand, a significant increase over the \$39 thousand received in FY2011. Included in this total is a \$200 thousand gift to support the Osher Lifelong Learning Institute (OLLI) National Conference, and a \$50 thousand gift to support ongoing operations of the OLLI Resource Center.
- Support for USM's academic divisions totaled \$138 thousand, a 47.2% decrease from FY2011. A significant portion of this predicted decrease (\$105 thousand) is a result of final pledge payments received for the few remaining outstanding pledges for the Risk Management Program.

# UNIVERSITY OF MAINE SYSTEM

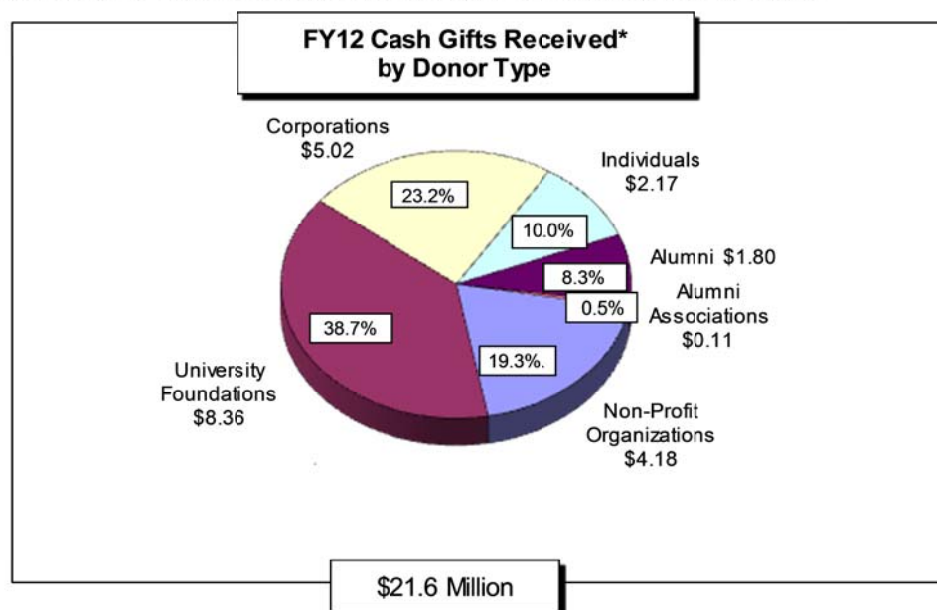
## ANNUAL REPORT ON GIFTS, FUND RAISING AND ENDOWMENTS

### Year Ended June 30, 2012

UMS received cash gifts of \$21.6M in FY2012, compared with \$18.2M in FY2011. The net increase includes a \$2.2M increase in UM gifts, a one-time endowed gift of \$1.0M at UMA and a \$1.3M gift to UMF from the dissolution of the UMF Alumni Foundation.



82% of UMS gifts in FY2012 were received from non-profits, corporations, and foundations.



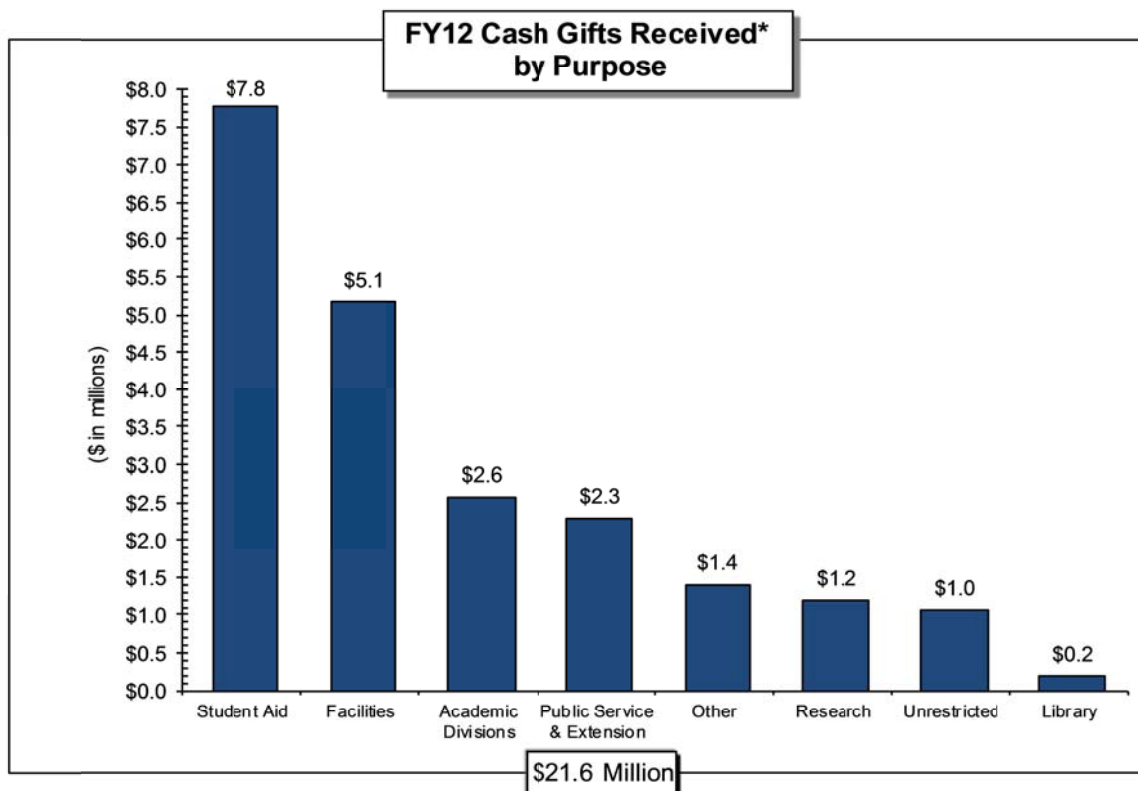
\* Cash Gifts Received includes cash, pledge payments, checks and negotiable securities only; not gifts in kind or pledges receivable.

# UNIVERSITY OF MAINE SYSTEM

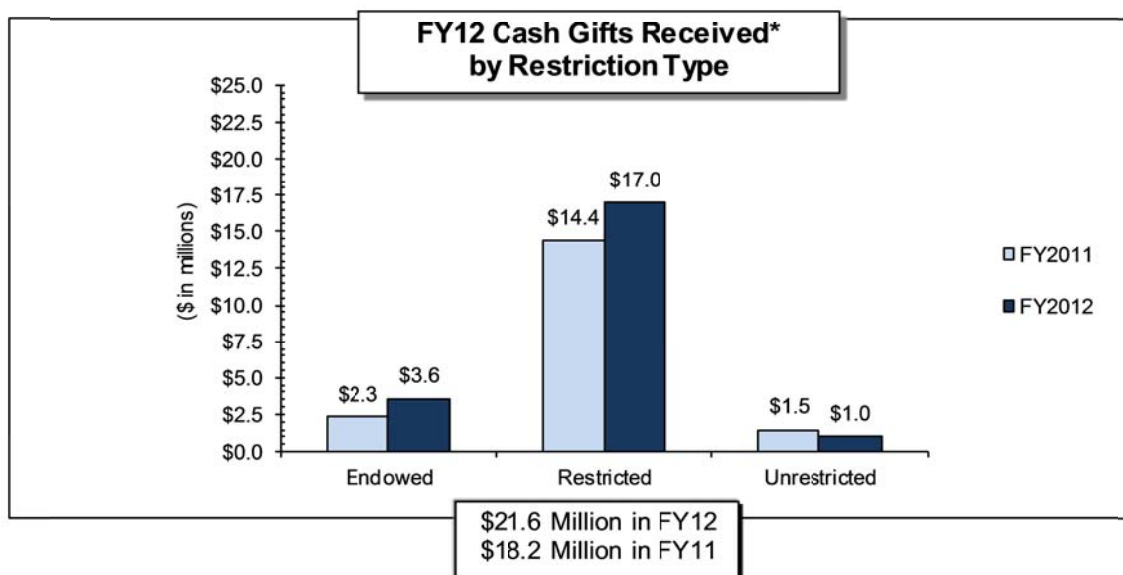
## ANNUAL REPORT ON GIFTS, FUND RAISING AND ENDOWMENTS

### Year Ended June 30, 2012

The \$21.6 million in total gifts received in FY2012 included gifts of close to \$8 million for student aid, \$2.6 million of which was endowed and \$5.2 million is available for immediate use. Facilities construction and renovation gifts totaled over \$5 million and funds of \$2.6 million for academic support were also received.



\$20.6 million or 95% of gifts received in FY2012 were earmarked by the donor for a particular purpose or use.



\* Cash Gifts Received includes cash, pledge payments, checks and negotiable securities only; not gifts-in-kind or pledges receivable.

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**Year Ended June 30, 2012**

**Cash Gifts Received by Campus by Donor Type**

(\$ in Thousands)

		2008	2009	2010	2011	2012
<b>UM</b>	University Foundation	\$ 7,613	\$ 6,134	\$ 4,122	\$ 4,448	\$ 6,207
	Corporations	2,298	1,762	2,346	2,243	4,499
	Non-Profit	1,405	1,843	4,589	4,727	3,437
	Alumni	1,093	287	713	1,941	1,553
	Other	1,511	1,314	828	938	819
	<b>Total</b>	<b>\$ 13,920</b>	<b>\$ 11,340</b>	<b>\$ 12,598</b>	<b>\$ 14,297</b>	<b>\$ 16,515</b>
<b>UMA</b>	University Foundation	\$ -	\$ -	\$ 2	\$ -	\$ -
	Corporations	221	43	112	87	59
	Non-Profit	-	-	22	69	27
	Alumni	-	1	1	31	1
	Other	132	92	89	80	1,054
	<b>Total</b>	<b>\$ 353</b>	<b>\$ 136</b>	<b>\$ 226</b>	<b>\$ 267</b>	<b>\$ 1,141</b>
<b>UMF</b>	University Foundation	\$ 3	\$ 12	\$ -	\$ -	\$ 1,287
	Corporations	139	7	5	4	21
	Non-Profit	154	4	3	160	116
	Alumni	124	96	238	523	51
	Other	573	217	132	113	130
	<b>Total</b>	<b>\$ 993</b>	<b>\$ 336</b>	<b>\$ 378</b>	<b>\$ 800</b>	<b>\$ 1,605</b>
<b>UMFK</b>	University Foundation	\$ 25	\$ 15	\$ 5	\$ -	\$ -
	Corporations	7	8	9	3	2
	Non-Profit	-	-	-	6	1
	Alumni	19	20	26	22	22
	Other	10	11	38	28	19
	<b>Total</b>	<b>\$ 61</b>	<b>\$ 54</b>	<b>\$ 78</b>	<b>\$ 59</b>	<b>\$ 44</b>
<b>UMM</b>	University Foundation	\$ -	\$ -	\$ -	\$ -	\$ -
	Corporations	6	4	1	5	2
	Non-Profit	8	2	-	1	1
	Alumni	19	9	6	10	24
	Other	27	23	21	29	21
	<b>Total</b>	<b>\$ 60</b>	<b>\$ 38</b>	<b>\$ 28</b>	<b>\$ 45</b>	<b>\$ 48</b>
<b>UMPI</b>	University Foundation	112	119	119	96	330
	Corporations	-	-	-	9	1
	Non-Profit	-	-	-	40	-
	Alumni	70	4	18	2	4
	Other	-	-	1	70	2
	<b>Total</b>	<b>\$ 182</b>	<b>\$ 123</b>	<b>\$ 138</b>	<b>\$ 217</b>	<b>\$ 337</b>
<b>USM</b>	University Foundation	\$ 1,451	\$ 9,396	\$ 1,803	\$ 1,230	\$ 538
	Corporations	459	345	417	389	434
	Non-Profit	758	1,395	671	198	525
	Alumni	139	138	125	132	148
	Other	549	677	295	488	254
	<b>Total</b>	<b>\$ 3,356</b>	<b>\$ 11,951</b>	<b>\$ 3,311</b>	<b>\$ 2,437</b>	<b>\$ 1,899</b>
<b>Multi-Campus</b>	University Foundation	\$ -	\$ -	\$ -	\$ -	\$ -
	Corporations	1	1	-	3	-
	Non-Profit	46	98	57	29	50
	Alumni	-	-	-	-	-
	Other	20	-	12	-	-
	<b>Total</b>	<b>\$ 67</b>	<b>\$ 99</b>	<b>\$ 69</b>	<b>\$ 32</b>	<b>\$ 50</b>
<b>University Foundation</b>		<b>\$ 9,204</b>	<b>\$ 15,676</b>	<b>\$ 6,051</b>	<b>\$ 5,774</b>	<b>\$ 8,362</b>
<b>Corporations</b>		<b>3,131</b>	<b>2,170</b>	<b>2,890</b>	<b>2,743</b>	<b>5,018</b>
<b>Non-Profit</b>		<b>2,371</b>	<b>3,342</b>	<b>5,342</b>	<b>5,230</b>	<b>4,157</b>
<b>Alumni</b>		<b>1,464</b>	<b>555</b>	<b>1,127</b>	<b>2,661</b>	<b>1,803</b>
<b>Other</b>		<b>2,822</b>	<b>2,334</b>	<b>1,416</b>	<b>1,746</b>	<b>2,299</b>
<b>Total</b>		<b>\$ 18,992</b>	<b>\$ 24,077</b>	<b>\$ 16,826</b>	<b>\$ 18,154</b>	<b>\$ 21,639</b>

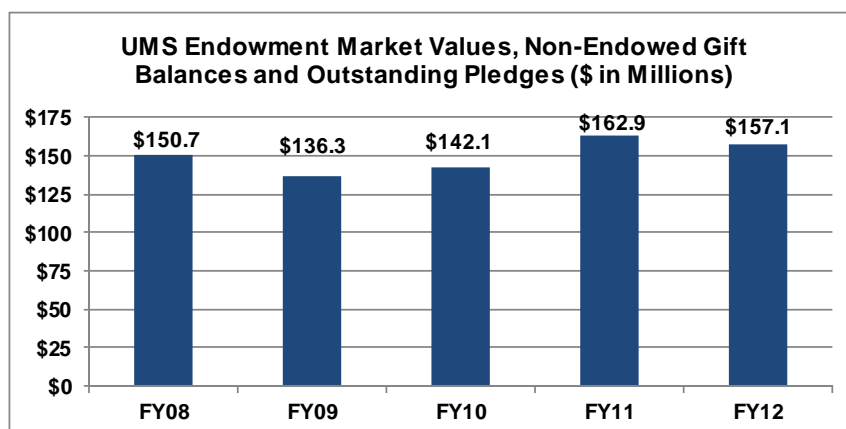


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**Year Ended June 30, 2012**

**UMS Endowment Market Value, Non-Endowed Gift Balances and Outstanding Pledges by Campus**  
**(\$ in Thousands)**

	2008	2009	2010	2011	2012
<b>UMS Endowment Market Value</b>					
UM	\$ 63,013	\$ 49,456	\$ 54,467	\$ 65,164	\$ 63,262
UMA	1,678	3,755	4,215	5,018	5,792
UMF	9,634	7,583	8,222	10,202	11,043
UMFK	1,415	1,209	1,299	1,507	1,415
UMM	1,603	1,252	1,354	1,610	1,546
UMPI	1,194	932	980	1,135	1,065
USM	14,741	11,551	12,313	14,339	13,562
MULTI	11,058	6,197	6,585	7,676	6,677
<b>Total</b>	<b>\$ 104,336</b>	<b>\$ 81,935</b>	<b>\$ 89,435</b>	<b>\$ 106,651</b>	<b>\$ 104,362</b>
<b>UMS Non-Endowed Gift Balances</b>					
UM	\$ 26,899	\$ 32,588	\$ 34,351	\$ 37,964	\$ 32,916
UMA	410	645	574	698	724
UMF	1,997	2,279	2,249	1,682	1,644
UMFK	726	674	694	404	377
UMM	362	339	377	372	290
UMPI	463	463	362	436	594
USM	8,403	8,218	6,750	6,268	6,150
MULTI	841	688	699	632	658
<b>Total</b>	<b>\$ 40,101</b>	<b>\$ 45,894</b>	<b>\$ 46,056</b>	<b>\$ 48,456</b>	<b>\$ 43,353</b>
<b>UMS Outstanding Pledges*</b>					
UM	\$ 4,350	\$ 5,078	\$ 4,802	\$ 6,906	\$ 8,822
UMA	1	1	2	4	3
UMF	175	143	110	45	54
UMFK	-	-	-	-	-
UMM	1	1	-	-	-
UMPI	17	59	-	-	-
USM	1,747	3,140	1,649	864	510
MULTI	-	-	-	-	-
<b>Total</b>	<b>\$ 6,291</b>	<b>\$ 8,422</b>	<b>\$ 6,563</b>	<b>\$ 7,819</b>	<b>\$ 9,389</b>
<b>TOTAL</b>	<b>\$ 150,728</b>	<b>\$ 136,251</b>	<b>\$ 142,054</b>	<b>\$ 162,926</b>	<b>\$ 157,104</b>

\* Pledges receivable are reported net of amounts deemed uncollectible, and after discounting to the present value of the expected future cash flows. Consistent with accounting standards, pledges to endowments are not reported as the System cannot fulfill the time requirement for gifts to endowments until the gift is received. Similarly, because of uncertainties with regard to their realizability and valuation, bequests and intentions to give and other conditional promises are not recognized as assets until the specified conditions are met.



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<b>UMS Affiliated Organizations</b>					
<b>Endowment Market Values</b>					
<b>(\$ in Thousands)</b>					
	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>UM Affiliates</b>					
UM Alumni Association	\$ -	\$ -	\$ -	\$ -	\$ -
UM Foundation	142,788	109,667	123,587	149,060	148,414
UM Pulp & Paper Foundation	15,086	10,896	12,439	13,073	13,485
Tanglewood 4-H Camp & Learning Center*	N/A	N/A	N/A	N/A	141
Pine Tree State 4-H Club Foundation	3,486	2,183	2,514	2,754	2,753
<b>UMA Affiliates</b>					
UMA Foundation **	N/A	N/A	-	-	-
<b>UMF Affiliates</b>					
UMF Alumni Foundation ***	1,008	1,005	1,123	1,329	N/A
<b>UMFK Affiliates</b>					
UMFK Foundation ***	566	465	622	868	974
UMFK Alumni Association ****	-	-	-	-	-
John L. Martin Scholarship Fund ***	86	67	73	85	80
<b>UMM Affiliates</b>					
UMM Alumni Association	-	-	-	-	-
<b>UMPI Affiliates</b>					
Foundation of the University at Presque Isle	2,820	2,816	3,074	3,616	3,474
<b>USM Affiliates</b>					
USM Foundation ***	9,185	11,422	13,140	16,066	15,266
UM Law Alumni Association	-	-	-	-	-
UM Law School Foundation	2,797	2,259	2,469	3,022	2,896
<b>Total UMS Affiliates Endowment Market Value</b>	<b>\$ 177,822</b>	<b>\$ 140,780</b>	<b>\$ 159,041</b>	<b>\$ 189,873</b>	<b>\$ 187,483</b>

<b>UMS Affiliated Organizations</b>					
<b>Cash Gifts Received</b>					
<b>(\$ in Thousands)</b>					
	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>UM Affiliates</b>					
UM Alumni Association	\$ 503	\$ 377	\$ 524	\$ 531	\$ 432
UM Foundation	12,601	6,578	5,365	5,927	12,639
UM Pulp & Paper Foundation	672	225	214	170	208
Tanglewood 4-H Camp & Learning Center*	N/A	N/A	N/A	N/A	164
Pine Tree State 4-H Club Foundation	147	141	80	68	59
<b>UMA Affiliates</b>					
UMA Foundation**	N/A	N/A	2	1	-
<b>UMF Affiliates</b>					
UMF Alumni Foundation	16	247	10	4	4
<b>UMFK Affiliates</b>					
UMFK Alumni Association****	4	1	3	4	6
UMFK Foundation	40	18	101	135	144
John L. Martin Scholarship Fund	-	-	3	-	1
<b>UMM Affiliates</b>					
UMM Alumni Association	-	-	2	1	-
<b>UMPI Affiliates</b>					
Foundation of the University at Presque Isle	61	65	75	152	41
<b>USM Affiliates</b>					
USM Foundation	3,650	4,182	2,512	1,761	1,247
UM Law Alumni Association	158	145	175	189	179
UM Law School Foundation	436	283	308	389	353
<b>Total Cash Gifts Received by Affiliated Organizations*****</b>	<b>\$ 18,288</b>	<b>\$ 12,262</b>	<b>\$ 9,374</b>	<b>\$ 9,332</b>	<b>\$ 15,477</b>

\* Affiliated with UMS in FY2012

\*\* The UMA Foundation was reaffiliated with UMS in FY2010.

\*\*\* Affiliated Organization Endowment funds invested in UMS Pool. The UMFAF was dissolved in FY2012 and the endowments invested with UMS.

\*\*\*\* Endowment funds are held by the UMFK Foundation and reported in their balances.

\*\*\*\*\* Total includes affiliated organizations' funds both invested in the UMS Pool and invested elsewhere (as reported to UMS by those affiliates).

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**Status of Capital Campaigns (Unaudited)**  
**(\$ in Millions)**

<u>Development Activity</u>	<u>Start Date</u>	<u>End Date</u>	<u>Campaign Goal</u>	<u>Amounts Raised Including Outstanding Pledges (as of 06/30/12)</u>	<u>Amount In Excess of Goal (as of 06/30/12)</u>
<b>UMFK Foundation</b>					
La Cloche de Fer	01/01/11	06/30/14	\$3.0	\$3.8 *	\$0.8

\* Includes gifts received by the University of Maine at Fort Kent (UMFK) and gifts reported by its affiliated fund raising organizations and a \$2.6 million grant from the U.S. Dept. of Agriculture.

*La Cloche de Fer* is a comprehensive campaign of the UMFK and the UMFK Foundation developing a more diverse and sustainable revenue base for UMFK by integrating statewide and national foundations, corporations, and a widely-dispersed alumni population, into a multi-year fundraising effort. The *La Cloche de Fer (Iron Bell)* campaign is raising \$1,500 thousand for Sustaining Capital, \$750 thousand for Academic Stewardship and \$750 thousand for Legacy Scholarships.

Note: During FY2011, UM finished Campaign Maine raising \$157.2 million and USM is in the early stages of campaign planning.

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**Notes**

**Board of Trustees Policy on Acceptance of Gifts**

The UMS Board of Trustees policy on Acceptance of Gifts, Development Activities, & Fund Raising Campaigns requires that each University President submit an annual fund raising activity report to the Chancellor for consolidation and submission to the Board of Trustees for approval at the September meeting. The report will include activities of affiliated support groups.

This Annual Report on Gifts and Fund Raising provides a summary of gifts received by the Universities and affiliated support groups during fiscal year 2012. All gifts received fulfill the policy requirements of the Board of Trustees and UMS and follows the intent of the donors. It is the intention of the Board of Trustees to ensure that the System or its Universities are prohibited from accepting funds from any source that would interfere with or otherwise restrict the academic freedoms of these institutions.

**Affiliated Organizations**

Information related to affiliated organizations has been supplied by those organizations. Such information has not been audited or verified in any way by UMS.

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**Mission Statements of University Affiliated Fund Raising Organizations**

**University of Maine Alumni Association**

The University of Maine Alumni Association represents the interests of all Alumni who share the common bond of having attended the University. The Association represents their thinking and their expectations to the University's leadership, to the student community, and to the residents and elected officials of Maine. The Association is the independent voice of the Alumni. The Association also represents the interests of the University to all Alumni.

**University of Maine Foundation**

The University of Maine Foundation, acting as a separate organization, works collaboratively with all entities to encourage philanthropic support by growing the endowment through planned/deferred giving for the University of Maine and other charitable organizations while carrying out the donor's wishes in perpetuity.

**University of Maine Pulp & Paper Foundation**

The purpose of the Foundation is to promote the following objectives:

1. To interest highly capable students in preparing for and advancing in engineering and forestry careers in pulp and paper and related industries.
2. To provide financial assistance in the form of loans, grants and scholarships for students who plan careers in pulp and paper and related industries.
3. To assist and advise the University in developing a curriculum of undergraduate and advanced study and continuing education to meet the needs of members of the Foundation.
4. To encourage promising students to elect a curriculum emphasizing operational management in pulp and paper and related industries.
5. To help assure that the staff responsible for teaching pulp and paper related subjects are well motivated and of the highest quality.
6. To advance fundamental and applied research for pulp and paper and related industries.

### **Pine Tree State 4-H Club Foundation**

The Pine Tree State 4-H Foundation was established in 1961 to help support the University of Maine's Cooperative Extension 4-H educational programs. The Foundation achieves this by promoting, fostering and encouraging programs in youth education development and leadership. This function is carried out through the University of Maine Cooperative Extension for more than 25,000 Maine youths. The work of the Foundation would not be possible without its many volunteers, donors, and sponsors.

### **Tanglewood 4-H Camp & Learning Center**

The mission of the Tanglewood 4-H Camp & Learning Center is to teach Maine youth and adults to be effective and caring citizens of the earth through affordable environmental education and nature-based experiences. Reaching over 3,500 youth and adults each year, programming is year-round, providing affordable nature-based experiences for all ages from two locations. Tanglewood and Blueberry Cove's camp adventures and school programs are based on "Earth Connections," nature discovery that helps youth become creative stewards of an interconnected world.

### **University of Maine at Augusta Foundation**

The University of Maine at Augusta Foundation was established to support and develop fund-raising within the University and business community, promoting alumni and private contributions. These funds, in addition to substantial scholarship contributions, will be utilized to advance financially the academic mission by addressing both present and future needs of the campus as they arise. These would include but not be limited to building endowments, support of programs (i.e. honors, athletics, architecture), campus special events and development of new programs. In addition, the Foundation could play an adjunct role in the development of funding of industry specific programs through friend building and fund raising. The University of Maine at Augusta Foundation, operating as a non-profit entity, is committed to the financial support of the goals of UMA through fund raising and friend building within the state of Maine.

### **University of Maine at Farmington Alumni Foundation**

The purpose of the Foundation was to operate an endowment foundation for the benefit of the University of Maine at Farmington and receive gifts from alumni and from the public for the benefit of the University of Maine at Farmington, and to receive, hold, invest, and administer property in order to make expenditures to or for the benefit of the University of Maine at Farmington. The UMFAF was dissolved in January 2012 and the assets were transferred to UMF.

### **University of Maine at Fort Kent Alumni Association**

The object of this Association is to promote and foster the best interests of the University of Maine at Fort Kent.

### **University of Maine at Fort Kent Foundation**

The purposes of the Foundation are to acquire real or personal property by devise, bequest, gift, donation, or otherwise, to hold, administer, control, and manage the same for the benefit of the University of Maine at Fort Kent, its faculty or students, or any member of either body, upon such terms and to such ends as donors, testators, or others shall prescribe, or otherwise on terms prescribed by this Foundation in the exercise of its discretion.

### **John L. Martin Scholarship Fund - University of Maine at Fort Kent**

The John L. Martin Scholarship Fund exists solely to provide scholarship awards to entering freshman at the University of Maine at Fort Kent and summer scholarships to Bachelor of Science in Environmental Studies students at UMFK who are working on the Allagash Wilderness Waterway.

### **University of Maine at Machias Alumni Association**

The mission of the Alumni Association is to contribute to the growth and prosperity of the University of Maine at Machias, to establish and maintain an effective, strong relationship between the Association and the University, to support the administration in striving to maintain the high educational standards which were originally established for Washington State Normal School, to promote positive public relations and to maintain a well-organized active membership.

### **Foundation of the University at Presque Isle**

The mission of the Foundation is to promote educational endeavors in connection with the University of Maine at Presque Isle and to receive and administer funds for scientific, educational, and research purposes, all for the public welfare of campus and community.

### **University of Southern Maine Foundation**

The University of Southern Maine Foundation is an independent, non-profit, fundraising organization whose purpose is to actively build and steward its resources in support of the University's mission of education, research and public service and to educate the public about the activities and programs of the University of Southern Maine.

### **University of Maine Law Alumni Association**

The University of Maine Law Alumni Association is committed to assisting the Law School fulfill its educational and professional mission and to serving the needs of its members by:

- Forging and fostering lasting relationships among the Law School, alumni and the legal community,
- Supporting the financial stability, growth and progress of the Law School through annual and special fund raising activities,
- Facilitating communication among the Law School, alumni and the legal community, and
- Planning and supporting alumni and law student events.

### **University of Maine School of Law Foundation**

It is the mission of the University of Maine School of Law Foundation to raise, manage and distribute funds for the support and improvement of the University of Maine School of Law and the education it provides, so that it will become an internationally recognized law school.